

Commercialization Review

Commercialization Review Task

1 Introduction

As a reviewer, you are a vital part of the Department of Energy (DOE) Office of Science's (SC) mission to fund innovation and research. Part of the review criteria for SBIR/STTR Proposals includes a commercialization review to evaluate the commercialization potential of the proposed technology.

The purpose of this document is to provide step by step instructions for users to follow to complete a SBIR commercialization review task.

2 Prerequisites

Before a user can complete a commercialization review, the following criteria must be met:

- User has received notification of review task.

3 Commercialization Review

Use the steps in the following steps to access and complete the commercialization review task.

3.1 Access Review Task

Use the following steps to access the commercialization review task.

3.1.1 Existing Account

1. You will receive an email notification from PAMS when a review task has been assigned to you. (Figure 1)

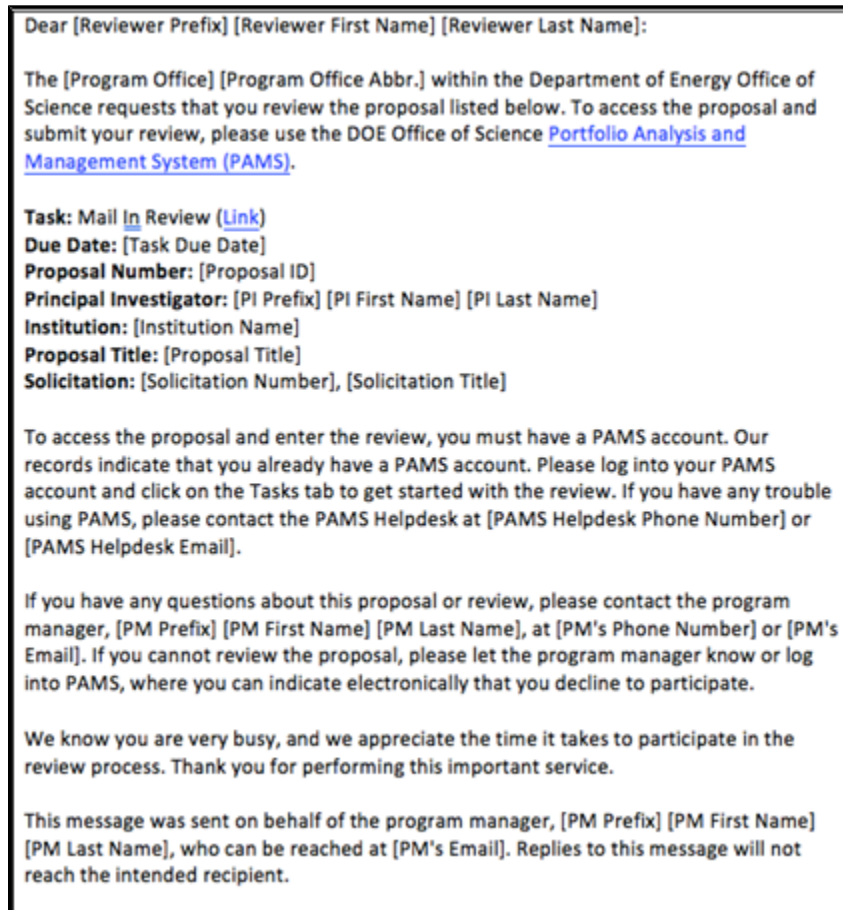


Figure 1. Existing PAMS Account – PAMS reviewer email

2. Login to your PAMS Account. (Figure 2)

Figure 2. PAMS External Login

3. Navigate to the Tasks tab and select Start Review for the task you wish to begin. (Figure 3)

Figure 3. Pending Tasks – List page

3.1.2 No Existing Account

Use the following steps if the reviewer does not have an existing PAMS account.

1. From the email received, click the link for the PAMS URL. (Figure 4)

Dear [Reviewer Prefix] [Reviewer First Name] [Reviewer Last Name]:

The [Program Office] [Program Office Abbr.] within the Department of Energy Office of Science requests that you review the proposal listed below. To access the proposal and submit your review, please use the DOE Office of Science [Portfolio Analysis and Management System \(PAMS\)](#).

Task: Mail [In Review](#)
Due Date: [Task Due Date]
Proposal Number: [Proposal ID]
Principal Investigator: [PI Prefix] [PI First Name] [PI Last Name]
Institution: [Institution Name]
Proposal Title: [Proposal Title]
Solicitation: [Solicitation Number], [Solicitation Title]

To access the proposal and enter the review, you must have a PAMS account. Our records indicate that you do not yet have a PAMS account. Please register in PAMS using the link and registration code provided below to create your account.

URL: [PAMS](#)
Registration Code: [Registration Code]

After logging into PAMS, click on the Tasks tab to get started with the review. If you have any trouble using PAMS, please contact the PAMS Helpdesk at [PAMS Helpdesk Phone Number] or [PAMS Helpdesk Email].

If you have any questions about this proposal or review, please contact the program manager, [PM Prefix] [PM First Name] [PM Last Name], at [PM's Phone Number] or [PM's Email]. If you cannot review the proposal, please let the program manager know or log into PAMS, where you can indicate electronically that you decline to participate.

We know you are very busy, and we appreciate the time it takes to participate in the review process. Thank you for performing this important service.

This message was sent on behalf of the program manager, [PM Prefix] [PM First Name] [PM Last Name], who can be reached at [PM's Email]. Replies to this message will not reach the intended recipient.

Figure 4. No Existing PAMS Account – PAMS reviewer email

2. Enter the registration code on the *Verify Registration Code Page* and click Verify. (Figure 5)

Figure 5. Verify Registration Code page

3. Complete the account creation process. (Step by step instructions for account creation can be found in the External User – Create External Account How To Guide).
4. After creating your account, the system will direct you to your Pending Tasks – List page. Click Start Review for the task you wish to begin.
5. Navigate to the Tasks tab and select Start Review for the task you wish to begin. (Figure 6)

U.S. DEPARTMENT OF ENERGY Office of Science Portfolio Analysis And Management System

Tasks Proposals Awards Institutions

ALL ENTITIES

Tasks

Pending Tasks

Applicants/Grantee

Proposals

Submit Public Abstract

Award

Progress Report

Renewal Proposal

Products

Award Access Request

Reviewer

Review

Mail In

Panel Review

Proposal Scoring

You are here: Home > Tasks > Browse > Tasks []

Pending Tasks - List

Not Completed Recently Completed

Detailed View | Search | Saved Searches

Page size: 15 Go 1 items in 1 page(s)

Deadline (Due)	Task Category	Tracking #	Task	Entity	Organization	Options
10/03/2019 11:59 PM (7 Days)	Review	0000001254	Mail In Review	N/A	Reviewer Institution	Start Review

Page size: 15 Go 1 items in 1 page(s)

Figure 6. Pending Task – List page

3.2 Conflict of Interest Statement

For each review assignment in PAMS, you will be required to complete a Conflict of Interest Declaration Statement. You have three choices: I do not have a conflict of interest in reviewing the proposal, I have a conflict of interest in reviewing the proposal or I do not wish to review the proposal. Use the steps in the following section to complete the Conflict of Interest Declaration.

1. Once you access the review task, you will be presented with the Conflict of Interest Statement. Read the statement. (Figures 7 – 8)

Proposal Review - Conflict of Interest Certificate

Solicitation Details

Title Solicitation Title

Synopsis of Solicitation

Synopsis

Proposal Details

Proposal ID 0000000001

Title Proposal Title

PI Last Name, First Name

Institution Institution Name, City, State

Abstract Proposal Abstract

Collaborative Proposals

Proposal ID	Institution	PI
No Collaborative Proposals Found.		

Proposal PDF A Link to the proposal PDF will be made available after you have read and agreed with the Conflict of Interest Certificate below.

Figure 7. Proposal Review – Conflict of Interest Certificate – General Information

Conflict Of Interest Certificate

U.S. DEPARTMENT OF ENERGY OFFICE OF SCIENCE CONFLICT OF INTEREST AND
CONFIDENTIALITY CERTIFICATE

Information on Conflict of Interest

The DOE Office of Science has a policy that individuals with a conflict of interest cannot participate in the merit review of a proposal for funding. You may not participate in the review of any proposal involving a particular matter that would have a direct and predictable effect on any person, company or organization with which you have a relationship (defined below), financial or otherwise. The interests of your spouse; your minor child; your general partner; any organization in which you serve as officer, director, trustee, general partner, or employee; and any person or organization with whom you are negotiating employment, are attributed to you. Further, you may not participate in the review of any proposal involving a particular person or a particular matter that you believe would cause a reasonable person with knowledge of the relevant facts to question your impartiality.

Prior to participating as a merit reviewer, please disclose to the program manager whether you have any actual or perceived conflicts of interest with such duties. In addition, please disclose that you have an actual or perceived conflict of interest as soon as you become aware of it. For reviewers who are Federal employees, the conflict of interest statutes and regulations that apply in regular Government employment apply for participants in the review of an application or proposal.

Please do not disclose any information concerning the assessment and analysis or the content of proposals, either during the proceedings of the merit review or at any subsequent time, to anyone who is not authorized access to the information by the DOE Office of Science or by law or regulation, and then only to the extent that such information is required in connection with such person's official responsibilities.

Listed below are examples of potential conflicts of interest:

- Affiliation with an applicant institution.
 - Current employment at the institution as member of the scientific staff, professor, adjunct professor, visiting professor, or similar position.
 - Current employment or are being considered for employment at the institution.
 - Any formal or informal re-employment arrangement with the institution.
 - Current membership on a visiting committee or similar body at the institution.
 - Ownership of the institution's securities or other evidences of debt.
 - Any office, governing board membership, or relevant committee chairpersonship in the institution.
 - Current enrollment as a student.
 - Received and retained an honorarium or award from the institution within the last 12 months.
- Relationships with an investigator, project director, or other person who has a personal interest in the proposal or other application.
 - Known family or marriage relationship.
 - Business or professional partnership.
 - Employment at the same institution within the last 12 months.
 - Past or present association as thesis advisor or thesis student.
 - Past or present association as postdoctoral advisor or postdoc.
 - Collaboration on a project or on a book, article, report, or paper within the last 4 years. (If publication with more than ten authors are the norm for your scientific field, only relationships with individuals in the core group with whom you interacted on a regular basis while the research was being done are covered.)

Figure 8. Proposal Review – Conflict of Interest Certificate – Information on Conflict of Interest

2. At the bottom of the page, you are presented with three choices:

-I do not have a conflict of interest in reviewing the proposal – select this choice if you do not have any of the conflicts listed in the COI statement

-I have a conflict of interest in reviewing the proposal – select this choice if you do have a conflict of interest with some aspect of the proposal. Selection of this choice will close the review task for you and notify the Program Manager.

-I do not wish to review the proposal – select this choice if you do not have a conflict but do not wish to review the proposal. Selection of this choice will close the review task and notify the Program Manager. (Figure 9)

3. Click the radio button for the appropriate choice. (Figure 9)

4. You may enter comments that will be presented to the Program Manager. When finished, click **Save and Continue**. (Figure 9)

3. Other affiliations or relationships.

- Interests of the following persons are to be treated as if they were yours: any affiliation or relationship of your spouse, of your minor child, or a relative living in your immediate household or of anyone who is legally your partner that you are aware of and that would be covered by Items 1 or 2 above.
- Any other relationship, such as close personal friendship, that you think might tend to affect your judgments or be seen as doing so by a reasonable person familiar with the relationship.

Information on Confidentiality

The DOE Office of Science receives proposals in confidence and protects the confidentiality of their contents. For this reason, you must not copy, quote from, or otherwise use or disclose to anyone, including your graduate students or postdoctoral or research associates, any material from any proposal you are asked to review. When you have completed your review, please be certain to destroy the paper copy of the proposal and/or delete any electronic correspondence or files related to the proposal.

The DOE Office of Science keeps reviews and your identity as a reviewer of specific proposals confidential to the maximum extent possible, except that we may send to Principal Investigators (PIs) the reviews of their own proposals without reviewer names and affiliations. In addition, selected proposals and peer reviews, including reviewer names and affiliations, may be shared with an outside Committee of Visitors established to assess the quality of the peer review process. Members of COVs sign confidentiality agreements before participating and are not given access to reviews of their own proposals, of proposals in which they collaborated or participated, or of proposals from their institution. Please respect the confidentiality of all PIs and of other reviewers. Do not disclose their identities, the content of discussions in a merit review panel, or other details about the merit review of proposals. Please remember that the contents of the proposal are legally proprietary information of the author and his/her institution and should not be used outside the context of proposal evaluation.

Certification

The certification below must be completed by individuals prior to their participation in the merit review process.

1. I will not participate in the review of any proposal involving a particular matter that would have a direct and predictable effect on any person, company or organization with which I have a relationship, financial or otherwise. For purposes of this statement, the interests of my spouse, my minor child, my general partner, any organization in which I serve as officer, director, trustee, general partner, or employee, and any person or organization with whom I am negotiating employment, are attributed to me.
2. Further I will not participate in the review of any proposal involving a particular person or a particular matter that I believe would cause a reasonable person with knowledge of the relevant facts to question my impartiality.
3. Prior to my participation as a merit reviewer, I will disclose any actual or perceived conflicts of interest that I may have with such duties. In addition, I agree to disclose any actual or perceived conflicts of interest as soon as I am aware of the conflict.

☒ I have no Conflict of Interest in reviewing the proposal.
☐ I have a Conflict of Interest in reviewing the proposal.
☐ I do not wish to review the proposal.

Comments

Approximately 1 page (Max 2000 Characters): 2000 Characters left.

Note: Comments entered here will be shared with DOE SC Program Manager via email.

Figure 9. Proposal Review – Conflict of Interest Certificate – Selection and Save

Note

If you accidentally declared a conflict of interest or declined to review, contact the Program Manager or SBIR/STTR Programs Office to have the task reopened for you. If you declared no conflict of interest, and then find that you do in fact have a conflict, contact the Program Manager to have your review task closed for you.

3.3 Complete the Commercialization Review

Use the steps in the following section to enter your review comments.

1. If you indicated no Conflict of Interest with the proposal, you will be shown reviewer instructions. Click Continue. (Figure 10)

Proposal Review - Instructions to Reviewers

Proposal ID: Institution Name, City, State, Country PI: Last, First

Proposal Title: Proposal Title
Solicitation: Solicitation Number - Solicitation Title
Reviewer Category: Reviewer

Resources

Supporting Additional
Solicitation Proposal Instructions

Instructions to Reviewers

Thank you for agreeing to participate in the technical review of research proposals submitted in response to the U. S. Department of Energy's 2019 Phase II Release 2 SBIR/STTR Program Funding Opportunity.

Important Provisions:

- Provide narrative comments for each question and score each criterion on the scale of -1, 0, or 1. (1 represents "I strongly endorse", 0 represents "My sentiments are somewhere between 1 and -1", and -1 represents "I have reservations")
- Reviewer's verbatim comments will be available to applicants; therefore, please refrain from using unnecessary, derogatory remarks and/or comments that might reveal your identity. Before releasing your review, we will remove all information from that review pertaining to your identity, including your name and any contact information.
- If you need to reference the DOE SBIR/STTR Program Funding Opportunity Announcement, it is available at https://science.energy.gov/-/media/grants/pdf/foas/2019/SC_FOA_0001976.pdf.
- If you need to reference the DOE SBIR/STTR Topic, it is available at https://science.energy.gov/-/media/sbir/pdf/TechnicalTopics/FY2018_Phase_1_Release_2_Topics_Combined.pdf.

The SBIR/STTR office greatly appreciates your time and effort in reviewing this material. You are helping us ensure that the funds mandated by law to support SBIR and STTR projects are spent wisely. Thank you.

Cancel Continue

Figure 10. Proposal Review – Instructions to Reviewers

2. To access the full proposal, expand the Resources section of the page and click the Proposal link. You will be prompted to open the proposal PDF. (Figure 11)

Proposal Review - Update Review

0000000001: Institution Name, City, State PI: Last Name, First Name

Resources

Supporting Additional
Solicitation Proposal Instructions

Cancel Continue

Figure 11. Proposal Review – Update Review – View Proposal

Note

When a reviewer downloads a Proposal PDF, PAMS will display a "Proposal Downloaded" overlay message stating that the reviewer is obligated to keep this Proposal under strict confidence, not to share it with anyone, and to destroy any personal copies after completing the review process. PAMS will send an email when the review process ends reminding the reviewer to destroy any personal copies of the Proposal PDF.

3. On the *Proposal Review – Update Review* page, you will be shown the evaluation criteria for this review. You may enter your comments and scores directly on this page. All required fields are marked with a red asterisk. (Figure 12)

4. Once you have completed all evaluation criteria and would like to submit your review, click **Save and Submit** in the bottom right hand corner. (Figure 12)

Note

You may also save your work and return at a later time by clicking **Save** and then navigating away or logging out of your session. To return to the review task, access your tasks list and click **Edit Review** to return to the review page.

Proposal ID: Institution Name, City, State, Country PI: Last, First

Resources

Supporting Additional

Solicitation Proposal Instructions

Criteria

1. Market Opportunity

Please comment on the clarity and strength of the commercialization plan's milestones, target dates, analyses of market size, and estimated market share after first-year sales. The following optional questions are suggested to guide your review: Has the company provided a satisfactory explanation of how it will obtain market share? Has the company demonstrated a compelling market opportunity? Is there a substantial market value for the company's proposed technology? Are there customers will to pay for this technology?

Score: -1 - 1

More than a page (Max 20000 Characters without spaces): 20000 Characters left

12px

Figure 12. Proposal Review – Update Review – Enter Comments and Save

5. You will be presented with the *Proposal Review – Review Summary*. This page will show you all evaluation criteria and your responses. Confirm your submission by clicking **Confirm** in the bottom right hand corner. You may also select the check box next to Email Myself a Copy to have a PDF copy of your review comments emailed to you. (Figure 13)

Proposal Review – Review Summary

Warning:
Clicking on the "Confirm" button will submit the review to DOE Office of Science. You will no longer be able to access the proposal and the review information.

Proposal ID: Institution Name, City, State, Country PI: Last, First

Resources

Supporting Additional

Solicitation Proposal Instructions

Criteria

1. Market Opportunity

Please comment on the clarity and strength of the commercialization plan's milestones, target dates, analyses of market size, and estimated market share after first-year sales. The following optional questions are suggested to guide your review: Has the company provided a satisfactory explanation of how it will obtain market share? Has the company demonstrated a compelling market opportunity? Is there a substantial market value for the company's proposed technology? Are there customers will to pay for this technology?

Review Text

2. Competition/Intellectual Property (IP)

Please comment on the proposed technology's competitive landscape and whether you see it as beneficial to or an impediment to its market entry, growth, and potential for profit. The following optional questions are suggested for your review: Has the company taken steps to secure its IP rights? Does the company's IP offer it a unique or different enough ability to operate freely within a given market? Has the company demonstrated a plan to achieve sufficient IP protection to realize the commercialization stage and possibly attain at least a temporal competitive advantage?

Review Text

3. Company/Team

Please comment on the Company/Team's ability to bring its respective innovation or technology to market. The following optional questions are provided for your consideration: Does this company's Phase I team/personnel involved in developing and bringing the innovation to market have the capable experience, proper background, and credentials? In your experience, is the current company capitalization sufficient for implementing its Commercialization Plan? As appropriate and necessary, are there additional resources from which the company can call upon to address team skills or abilities which may be currently lacking, e.g., Board of Directors, technical advisors, or retained legal counsel?

Review Text

4. Finance and Revenue Model

Please comment on the applicant's projections, assumptions, and overall soundness and quality of the project's finance and revenue models. The following questions are provided for your consideration: Are the costs to complete R&D, product, and production development, design, engineering, and to produce the product or service reasonable and appropriate? Is there any revenue stream (licensing, product sales or other) associated with the Commercialization Plan? If any, are third party funding commitments sound, i.e., non-contingencies or qualifiers and clear and documentable?

Review Text


Back

☐ Email Myself a Copy

Confirm

Figure 13. Proposal Review – Review Summary

6. You will receive a green success message indicating that your proposal review was submitted successfully. The review task will be removed from your tasks list. If you need to make changes after you submitted your review, contact the Program Manager or SBIR/STTR Programs Office to reopen the review task. (Figure 14)

 U.S. DEPARTMENT OF
ENERGY

Office of
Science

Portfolio Analysis And Management System

TasksProposalsAwardsInstitutions

Browse

Friday 27th September 2019 12:08:17 P.M.

You are here: Home » Tasks » Browse » Reviewer []

Mail In Reviews - List

✓ Success:
Review submitted successfully.

Search Saved Searches

Page size: 15 Go 0 items in 1 page(s)

Due In	Review Deadline Date	Proposal ID	PI	Institution Name	Review Status	Options
					All	

No records found.

Page size: 15 Go 0 items in 1 page(s)

Figure 14. Mail In Reviews – List page – Success Message